

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: Andrew Graham ET AL.

Appln. No.: Not yet assigned

Filed: Herewith

For: A NON-VOLATILE MEMORY
CELL, MEMORY CELL
ARRANGEMENT AND METHOD
FOR PRODUCTION OF A NON-
VOLATILE MEMORY CELL

Attorney Docket No: 10808/230

Examiner: Not yet assigned

Art Unit: N/A

INFORMATION DISCLOSURE STATEMENT

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(b), Applicants hereby cite the following reference(s):

No.	Date of Publication	Patentee/Applicant/Assignee
6,707,098 B2	March 16, 2004	Hofmann et al.
US 2002/130311 A1	September 19, 2002	Cui et al.
US 2002/0130311 A1	September 19, 2002	Lieber et al.
6,407426 B1	June 18, 2002	Ahn et al.
6,740,910 B2	May 25, 2002	Roesner et al.
6,361,861 B2	March 26, 2002	Gao et al.
US 2002/0001905 A1	January 3, 2002	Choi et al.
US 2002/0023986 A1	September 27, 2001	Mancevski
5,899,734	May 4, 1999	Lee

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY
EP 1 170 799 A2	January 9, 2002	EPO
DE 10032370	December 13, 2001	Germany
DE 100 36 897 C1	July 28, 2000	Germany

OTHER ART - NON PATENT LITERATURE DOCUMENTS

S.J. Wind, J. Appenzeller, R. Martel, V. Derycke and Ph. Avouris, *Vertical Scaling of Carbon Nanotube Field-Effect Transistors Using Top Gate Electrodes*, pgs. 3817-3819, Vol. 80, No. 20, May 20, 2002.

M.S. Fuhrer, B.M. Kim, T. Durkop and T. Brintlinger, *High-Mobility Nanotube Transistor Memory*, pgs. 755-759, Vol. 2, No. 7, American Chemical Society 2002.

M. Radosavljevic, M. Freitag, K.V. Thadani, A.T. Johnson, *Nonvolatile Molecular Memory Elements Based on Ambipolar Nanotube Field Effect Transistors*, pgs. 761-764, Vol. 2, No. 7, American Chemical Society, 2002.

Howard Pein and James D. Plummer, *Performance of the 3-D PENCIL Flash EPROM Cell and Memory Array*, pgs. 1982-1991, No. 11, IEEE Transactions on Electron Devices, November 1995.

Richard Feynman, <i>The Physics of Nanotubes</i> , pgs. 111-155.
Peter J. F. Harris, <i>Carbon Nanotubes and Related Structures</i> , pgs. 1-15.
Copy of the International Examination Report from corresponding PCT patent application no. PCT/DE03/03588.
Copy of the International Search Report from corresponding PCT patent application no. PCT/DE03/03588.

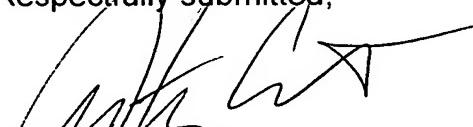
Applicants are enclosing Form PTO-1449 (one sheet), along with a copy of each listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R. §1.98(a)(3). Applicants respectfully request the Examiner's consideration of the above reference(s) and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

Applicants have calculated no fee to be due in connection with the filing of this Statement. However, the Director is authorized to charge any fee deficiency associated with the filing of this Statement to a deposit account, as authorized in the Transmittal accompanying this Statement.

Respectfully submitted,

4/28/05
Date



Anthony P. Curtis, Ph.D.
(Reg. No. 46,193)

10/533215

JC14 Rec'd PCT/PTO 28 APR 2005

FORM PTO-1449	SERIAL NO. Not yet assigned	CASE NO. 10808/230
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary)	FILING DATE Herewith	GROUP ART UNIT N/A
	APPLICANT(S): Andrew Graham et al.	

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER Number-Kind Code (if known)	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
A1	6,707,098 B2	March 16, 2004	Hofmann et al.		
A2	US 2002/130311 A1	September 19, 2002	Cui et al.		
A3	US 2002/0130311 A1	September 19, 2002	Lieber et al.		
A4	6,407426 B1	June 18, 2002	Ahn et al.		
A5	6,740,910 B2	May 25, 2002	Roesner et al.		
A6	6,361,861 B2	March 26, 2002	Gao et al.		
A7	US 2002/0001905 A1	January 3, 2002	Choi et al.		
A8	US 2002/0023986 A1	September 27, 2001	Mancevski		
A9	5,899,734	May 4, 1999	Lee		

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER Number-Kind Code (if known)	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO
A10	EP 1 170 799 A2	January 9, 2002	EPO		
A11	DE 10032370	December 13, 2001	Germany		
A12	DE 100 36 897 C1	July 28, 2000	Germany		

EXAMINER INITIAL	OTHER ART – NON PATENT LITERATURE DOCUMENTS	
	(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.)	
A13	S.J. Wind, J. Appenzeller, R. Martel, V. Derycke and Ph. Avouris, <i>Vertical Scaling of Carbon Nontube Field-Effect Transistors Using Top Gate Electrodes</i> , pgs. 3817-3819, Vol. 80, No. 20, May 20, 2002.	
A14	M.S. Fuhrer, B.M. Kim, T. Durkop and T. Brintlinger, <i>High-Mobility Nanotube Transistor Memory</i> , pgs. 755-759, Vol. 2, No. 7, American Chemical Society 2002.	
A15	M. Radosavljevic, M. Freitag, K.V. Thadani, A.T. Johnson, <i>Nonvolatile Molecular Memory Elements Based on Ambipolar Nanotube Field Effect Transistors</i> , pgs. 761-764, Vol. 2, No. 7, American Chemical Society, 2002.	
A16	Howard Pein and James D. Plummer, <i>Performance of the 3-D PENCIL Flash EPROM Cell and Memory Array</i> , pgs. 1982-1991, No. 11, IEEE Transactions on Electron Devices, November 1995.	
A17	Richard Feynman, <i>The Physics of Nanotubes</i> , pgs. 111-155.	
A18	Peter J. F. Harris, <i>Carbon Nanotubes and Related Structures</i> , pgs. 1-15.	
A19	Copy of the International Examination Report from corresponding PCT patent application no. PCT/DE03/03588.	
A20	Copy of the International Search Report from corresponding PCT patent application no. PCT/DE03/03588.	

EXAMINER	DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.